



2006

SBA Awards Package

Nomination Guidelines and Forms

Return Packages To:

US Small Business Administration
Arizona District Office
2828 North Central Avenue, Suite 800
Phoenix, AZ 85004

Need More Information? Contact Jerry Dukauskas (602) 745-7200



SBA AWARDS NOMINATION CHECK-LIST 2006

Please use this easy check-list to help you assemble the necessary information to complete your award nomination. Please call us at (602) 745-7200 if you have any questions.

DEADLINE: November 1, 2005

OK▼	Need	Have	Item for All Categories
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. Cover Page. Prepare a single, typed cover page that includes the name of the category (award), nominee's full name, business name (if applicable), business and home address, and business telephone and fax numbers. Include a one - paragraph description of the nominee's business or Champion's profession/occupation and include your name, title, place of business, business address, email address, and telephone number as nominator.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. Original 8" X 10" or 5" X 7" photo of the nominee
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. Nomination Letter (no more than three pages) that address the specific evaluation criteria for that specific award.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. Nominee Biography (not to exceed two pages)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. Nominee Business Profile (not to exceed two pages). This is information about the nominee's business that includes what they do, market area, number of employees, etc.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. Statement of Qualities and Performance (not to exceed 4 pages) that explains in a concise manner the specific qualities and performance that merit the award.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. Financial Statement of the nominee not to exceed 12 pages. (<i>Note: Required only for Small Business Person of the Year, Exporter of the Year, Home-Based Business of the Year, and the Young Entrepreneur of the Year Award.</i>)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8. Other Documentation (not to exceed 10 pages) that you feel is significant including newspaper articles, letters of recommendation, or other evidence of the appropriateness of the nomination. Videos will not be considered.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9. SBA Form 2137 Consent for Disclosure
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10. SBA Form 912 Statement of Personal History

Introduction

In recognition of the small business community's contribution to the American economy and society, the President of the United States designates one week each year as National Small Business Week.

Leading up to that week, the U.S. Small Business Administration, in co-sponsorship with public- and private-sector small business supporters, will host special events to honor and present awards to the nation's entrepreneurs and small business champions at the SBA district, state and national levels.

The award winners from those local and state events in the following categories will be invited to Washington, D.C., for SBA Expo '05 — Celebrating National Small Business Week:

- Small Business Person of the Year (from each of the 50 states, the District of Columbia, Puerto Rico and the U.S. Virgin Islands, and Guam);
- Phoenix Awards (for disaster recovery);
- Small Business Champions (individuals or organizations dedicated to supporting small businesses);
- Small Business Prime Contractor of the Year; Small Business Subcontractor of the Year; Frances Perkins Vanguard Awards; Dwight D. Eisenhower Awards for Excellence; and Gold Star Awards (all for federal government contracting).

The National Small Business Person, Small Business Prime Contractor, and Small Business Subcontractor of the Year will be announced and honored at the Expo during National Small Business Week. They will be joined by government officials, corporate leaders and small businesses from around the country.

The Awards

Small Business Person Awards

- State Small Business Person of the Year
- The National Small Business Person of the Year is selected from the state winners.

Phoenix Awards

- Disaster Recovery
- Outstanding Contributions to Disaster Recovery:
 - by a private-citizen volunteer
 - by a public official

The Phoenix Awards are presented only at the national level.

Small Business Champion Awards

- Financial Services Champion of the Year
- Home-Based Business Champion of the Year
- Minority Small Business Champion of the Year

Small Business Champion Awards, continued

- Small Business Exporter of the Year
- SBA Young Entrepreneur of the Year
- Small Business Journalist of the Year
- Veteran Small Business Champion of the Year
- Women in Business Champion of the Year
- SBA Family-Owned Small Business of the Year

Federal Procurement Awards

- Small Business Prime Contractor of the Year
- Small Business Subcontractor of the Year
- Dwight D. Eisenhower Award for Excellence
- Gold Star Award
- Frances Perkins Vanguard Award

To Nominate for Small Business Person and Small Business Champion Awards

Any individual or organization dedicated to the support of the small business community in the United States, including, but not limited to, trade and professional associations and business organizations, may submit nominations for Small Business Person awards and Small Business Champion awards. All nominees for Small Business Person of the Year must own or operate a business defined as small under the SBA's size standards.

Nominations must be submitted to the nearest U.S. Small Business Administration district office in the state or territory of the nominee (see list beginning on page 14). All nominations except The Gold Star and Frances Perkins Vanguard Awards must be postmarked or hand delivered no later than Dec. 3, 2004. Nominations for these two awards only must be postmarked or hand delivered no later than Nov. 30, 2004.

You may not nominate an individual for more than one award category. Nominations must be typewritten on one side of 8½" x 11" white stationery, collated and secured in a 1½" binder. Incomplete nomination packages will not be considered. A complete nomination package will include, in the following order:

1. A single cover page with —
 - the nominee's full name, title, business and home addresses with telephone and fax numbers, and e-mail address if applicable;
 - the award for which the nomination is being made;
 - the nominator's name, title, place of business, business address and telephone number and e-mail address if applicable; and
 - a one-paragraph description of the nominee's business for Small Business Person of the Year, Small Business Exporter of the Year, and SBA Young Entrepreneur of the Year nominations, or the profession occupation for all Champion of the Year nominations.
2. A completed background form which will be made available to SBA field offices. For "team" nominations for Small Business Person of the Year, a background form is required for each team member
3. An original 8" x 10" or 5" x 7" photo of the nominee; photocopies are not acceptable.
4. A nomination letter, not exceeding two pages.
5. A brief biography of the nominee, not exceeding one page.
6. A business profile, not exceeding one page.
7. A concise statement of the qualities and performance that merit the award, not exceeding two pages.
8. A financial statement of the nominee — including balance sheets, profit-and-loss statements and financial reports — not exceeding 12 pages, on 8½" x 11" paper (required only for Small Business Person of the Year, Exporter of the Year, Home-Based Business of the Year, the SBA Young Entrepreneur of the Year and the SBA Family-Owned Small Business of the Year).
9. Any other supporting documentation deemed significant by the nominator, including news clips, letters of recommendation and other evidence of the appropriateness of the nomination. Supporting documentation must not exceed 10 pages. Videos will not be considered.
10. A completed Consent for Disclosure of Information (SBA Form 2137), available at SBA offices.

Selection Procedures

Small Business Persons of the Year and Small Business Champion Awards will be selected at the state and national levels. In those states served by more than one SBA district office, awards will also be presented at the district level. Winners at each level will be considered for awards at the next highest level. Nomination packages for each state winner will be sent to regional SBA offices and prepared for transmittal to the SBA's National Advisory Council Office for review. The National Small Business Person of the Year will be selected by the SBA's Administrator based on the recommendations of the agency's Small Business Week panel of judges. The winner will be announced during National Small Business Week.

Key Deadlines

Dec. 3, 2004	National Small Business Week 2005 nominations must be received by SBA district offices.
Jan. 7, 2005	SBA district winners are selected from multidistrict states; state winners are selected from single-district states.
Feb. 9, 2005	A panel of judges selects state winners in multidistrict states.
Mar. 16, 2005	State Small Business Persons of the Year are announced.

Eligibility and Evaluation Criteria

Nominees must be residents of and employed in the United States or its territories and will be subject to background checks. Small businesses owned and operated by nominees must comply with federal civil rights laws (see page 1 for nomination requirements). The U.S. Small Business Administration's size standards apply in defining a business as small. Consult your nearest SBA district office if you have questions.

Small Business Person Awards

Small Business Person of the Year

Any individual who owns and operates or bears principal responsibility for operating a small business may be nominated.

Partners who jointly own and operate a small business may be nominated as a "team," so long as the number of individuals in the team nomination does not exceed four.

Evaluation Criteria:

1. Staying power — a substantiated history as an established business; including:
 - Number of years in business.
 - Sustained expansion, addition of territories, growth in square footage occupied.
 - Steady growth in net worth as evidenced by total assets less total liabilities on fiscal year end annual balance sheets over three years.
2. Growth in number of employees — a benchmark to judge the impact of the business on the job market.
 - Sustained over a minimum of three years.
 - Increase over the three years must be in excesses of growth in Gross National Product.

3. Increase in sales and/or unit volume — an indication of continued growth over the last three years.
 - Consistent growth in net income as evidenced by fiscal year on annual profit-and-loss statements for a minimum of three years.
4. Current and past financial reports — a substantiation of improved financial position of the business.
 - Profit-and-loss statements for the last three years, reflecting sustained upward growth.
 - Balance sheets for the last three years, showing consistent increase in net worth and/or partners' return.
5. Innovativeness of product or service offered — an illustration of the creativity and imagination of the nominee.
 - Specific description of uniqueness of product or service.
 - Explanation of how product or service fits a niche not being adequately addressed by the competition.
6. Response to adversity — examples of problems faced in the nominee's business and the methods used to solve them, including:
 - Specific description of financial, physical, legal or other crisis.
 - Substantiation of the threat to the continuity of the business.
 - Defined actions taken by the nominee to resolve the crisis.
7. Contributions to aid community-oriented projects — evidence of the use of his/her personal time and resources, including:
 - Specific listing of contributions of money, time, or resources to charitable causes.
 - Membership in councils, boards and clubs providing support and services to the community.

Phoenix Awards

Phoenix awards are given to those individuals whose efforts and contributions have enabled their businesses or communities to recover successfully from a disaster. The SBA disaster area offices will nominate and check Phoenix Award nominees.

Phoenix Award for Small Business Disaster Recovery

Any individual who owns and operates a small business that suffered physical damage following a disaster and received an SBA physical disaster loan may be nominated.

Evaluation Criteria:

- Recent disaster — The business suffered a physical disaster loss and received an SBA disaster loan during fiscal 2003 and/or fiscal 2004.
- Extent of damage — The business suffered at least 40 percent damage.
- Resiliency — The business successfully resumed its operations within the same area.
- Staying power — The business maintained at least 90 percent of its pre-disaster employment level.
- Contribution to the local community (e.g., the only supermarket in town, a major employer in the city, etc.)
- Speed of recovery.
- Initiative and innovation displayed during recovery.
- Efforts made by the business to protect the property from future disaster losses.

Phoenix Award for Outstanding Contributions to Disaster Recovery

Phoenix awards may also be presented to a private-citizen volunteer and public official who have each made an outstanding contribution to a community's recovery following a natural disaster.

Small Business Champion Awards

Financial Services Champion of the Year

Individuals who assist small businesses through advocacy efforts to increase the usefulness and availability of accounting or financial services may be nominated. Nominees may or may not be small business owners.

Evaluation Criteria:

- Outside of regular business duties, the amount and quality of assistance given small businesses to obtain financing.
- Advocacy of changes in the financial services industry to assist small companies.
- Encouragement of the flow of investment capital to small ventures.
- Active support for legislative or regulatory action designed to help small firms.
- Other significant contributions through the financial services or accounting industries to advance small business interests.

Home-Based Business Champion of the Year

Individuals who have experienced the rewards and difficulties of home-based businesses and have volunteered to improve the climate for these businesses may be nominated. Nominees may or may not be small business owners.

Evaluation Criteria:

- Volunteering time and energy to improve the conditions for home-based businesses.
- Engaging in entrepreneurial training, policy development efforts, or financial or business planning specifically tailored for home-based businesses.
- Demonstrated interest in home-based businesses as an owner or former owner.
- Measurable accomplishments in advanced home-based businesses, such as adoption of public policy or expansion of a program.

Minority Small Business Champion of the Year

Individuals who have fulfilled a commitment to support minority entrepreneurship may be nominated. Nominees may or may not be small business owners.

Evaluation Criteria:

- Volunteer efforts beyond business/professional responsibilities to advance minority small business interests within the community, state and/or nation.
- Demonstrated efforts to improve conditions in the minority small business community as a whole, not solely for individual personal advancement.
- Voluntary provision of professional services to the minority small business community in a legal, legislative, managerial or financial capacity.

Demonstrated accomplishments in advising minority small business groups of opportunities within the overall business community.

Other accomplishments demonstrating the nominee's merit as an effective advocate for minority small business interests.

Small Business Exporter of the Year

Any individual who owns and operates a small business engaged in exporting may be nominated.

Evaluation Criteria:

- Increased sales, profits and/or growth of employment because of exporting (the nomination package must include profit-and-loss statements and balance sheets for the past three years).
- Creative overseas marketing strategies, with a description of the products exported and markets served.
- Effective solutions to export-related problems.
- Demonstrated encouragement of other small businesses to export.
- Volunteer assistance to other small businesses entering the export market.
- Cooperation with other businesses in the creation of export trading companies and/or introduction of unique trading relationships, products or services.

SBA Young Entrepreneur of the Year

Any individual who serves as a majority owner and operates or bears principal responsibility for operating a small business with a three-year track record, and who will not have reached the age of 30 by June 1, 2005, may be nominated.

Evaluation Criteria:

- Evidence of success as measured by sales and profits (the nomination package must include profit-and-loss statements and balance sheets for the past three years).
- Increased employment opportunities created by the nominee's business.
- Development and/or utilization of innovative or creative business methods.
- Demonstrated entrepreneurial potential necessary for long-term business success and economic growth.

Small Business Journalist of the Year

Journalists representing television, radio, electronic or print media may be nominated. Sample articles or tapes are encouraged.

Evaluation Criteria:

- Concerted efforts to increase public understanding of the importance of small business contributions to the economy.
- Contribution of news and feature stories, editorials, columns and commentary that highlight and analyze small business issues.
- Voluntary community service aimed at enhancing small business opportunity and growth.
- Other achievements that exemplify the nominee's media efforts to improve the understanding of the role of small business in the U.S. economy.

Veteran Small Business Champion of the Year

Individuals who have fulfilled a commitment to advancing small business opportunities for veterans of the U.S. armed forces may be nominated. Nominees may or may not be veterans.

Evaluation Criteria:

- Active support for legislative or regulatory action designed to help small businesses.
- Evidence of increased business opportunities for veterans as a result of the nominee's actions.
- Advisory activities to improve awareness among veterans' groups of small business opportunities.
- Advocacy of special consideration for veteran-owned small businesses in government policymaking.
- Demonstrated accomplishment in obtaining support within the community for the establishment of veteran-owned small businesses.
- Other accomplishments demonstrating the nominee's effective advocacy of veteran-owned small businesses.

Women in Business Champion of the Year

Individuals who have fulfilled a commitment to the advancement of women's business ownership may be nominated. Nominees may or may not be small business owners.

Evaluation Criteria:

- Active support for legislative or regulatory action designed to help small businesses.
- Efforts to increase business and financial opportunities for women.
- Legal, financial or managerial assistance provided to enhance women's business ownership.
- Volunteer efforts to strengthen the role of women business owners within the community.
- Advocacy of the women-owned business community as a whole, not solely for individual personal advancement.
- Other accomplishments demonstrating effectiveness in improving the environment for the creation and expansion of businesses owned and operated by women.

SBA Family-Owned Small Business of the Year

This award honors a family owned and operated business which has been passed on from one generation to another. Nominees must also serve as a majority owner and operator or bear principal responsibility for operating a small business with at least a 15-year track record. Nominations will be evaluated on the following criteria.

Evaluation Criteria:

- Evidence of success as measured by sales and profits. (The nomination package must include profit-and-loss statements and balance sheets for the past three years.)
- Increased employment opportunities for family members and non-family members for the nominee's business.
- Demonstrated potential necessary for long-term business success and economic growth.
- Voluntary efforts to strengthen family-owned businesses within the community.

To Nominate for Federal Procurement Awards

Small Business Prime Contractor and Small Business Subcontractor of the Year

These awards honor small businesses that have provided the government and industry with outstanding goods and services either as prime contractors or as subcontractors. Only federal agencies may nominate a small business for Small Business Prime Contractor of the Year, and only large federal prime contractors may nominate a small business for Small Business Subcontractor of the Year. All small business nominees must be defined as small according to SBA size standards.

Nominations must be submitted to the Government Contracting Area Office, Attn: Government Contracting Area Director where the nominee is located (*see list on page 16*).

Evaluation Criteria:

The company must excel in the following areas.

- overall management
- technical capabilities
- cost performance
- resource utilization
- financial strength
- delivery performance
- labor relations
- special achievements
- customer interface
- exceptional results

SBA Form 1375 must be used for each Federal Prime Contractor of the Year Award nomination submitted, and SBA Form 883 must be used for each Federal Subcontractor of the Year Award nomination submitted. These forms can be accessed on the Internet at <http://www.sba.gov/library/forms.html>, then press Contracting & Surety Bonding Forms. Firms which have received these awards within the past three years are not eligible

Dwight D. Eisenhower Award for Excellence

This award recognizes large prime contractors that have excelled in their utilization of small businesses as suppliers and subcontractors. One winner may be selected in each of the following five categories: manufacturing; service; research and development; construction; and utilities.

Evaluation Criteria:

- Standard Form 295 Summary Subcontract Report(s) for the year ending September 30, 2004, must reflect maximum practicable opportunity for small business, veteran-owned small business, service-disabled veteran owned small business, HUBZone small business, small disadvantaged business and women-owned small business as required by statute and regulations.
- The nomination must include a five-year trend analysis table, an SF 295 for each federal agency that the nominee had contracts with in FY 2004, and a detailed narrative summarizing the company's subcontracting program.

The nominated firm must have received an SBA Award of Distinction during the past three years.

The company's narrative should address the following criteria:

- Demonstrated management support of the small business program
- Effectiveness of the small business liaison officer.

- Outreach efforts during the past 12 months (i.e. seminars, conferences, trade shows and any other related procurement functions).
- Assistance to small businesses during the past two years and related success stories. Include the various kinds of assistance such as technical, managerial, etc. and where possible, identify recipients by category: small business, HUBZone small business (if applicable), veteran-owned small business, service-disabled veteran-owned small business, small disadvantaged business, and women-owned small business.
- Participation in a mentor-protégé program.
- Recipient of other awards for small business activities (i.e. federal, state, trade shows, etc.) during the past three years.
- Use of CCR's Dynamic Small Business Search Engine and SUB-Net.
- Participation in SBA Subcontractor of the Year Award Program in 2003, 2004 and 2005.
(If the company has not yet submitted a nomination, it must indicate if it intends to do so).
- List of all federal agencies with which the company had contracts containing subcontracting plans as of September 30, 2004.

Firms which have received this award within the past three years are not eligible.

For more information, contact the nearest Government Contracting Area Office (*see list on page 14*).

Gold Star Award

This award recognizes the exemplary performance of federal personnel within a federal government agency's Office of Small and Disadvantaged Business Utilization who carry out the aggressive goals and strategic initiatives that help ensure a role for small business in the federal marketplace.

Evaluation Criteria:

- This is a self-nomination award proposed by a federal department or agency which has had progressive goals in the prime contract goaling category of "small business" for a minimum of three years and at least three years of progressive goals in another prime or subcontract goaling category.
- Agencies will be required to not only furnish the 3-year goals sheet, they are also required to furnish the department or agency outreach and marketing initiatives that have supported the increased goal achievement.
- The Office of Government Contracting and Business Development will select the winner(s) based on data provided by the Federal Procurement Data System.

Federal agencies which have received this award within the past three years are not eligible. Submissions must be forwarded to the Office of Government Contracting and Business Development, Attention: Gold Star Award, U.S. Small Business Administration, 409 3rd St. SW, Washington, D.C. 20416 by Nov. 30, 2004.

Frances Perkins Vanguard Award

This award honors government and industry for their excellence in the use of women-owned small businesses as prime contractors and subcontractors.

Awards should include the following:

Exemplary utilization of women-owned small businesses by:

- a federal buying activity
- industry – large prime contractors
- Self-nominations must include a narrative summarizing efforts to utilize women-owned small businesses in subcontracting programs. For industry, the nomination must also include a 3-year trend analysis table and a Standard Form 295 for FY 2004. Industry nominees must also have achieved the 5 percent statutory Women Owned Small Business subcontracting goal for the last two fiscal years and must do business with a federal agency that negotiates goals with SBA. Extra evaluation credit will go to nominees demonstrating improvement in the percentage of prime contract awards or subcontract awards to women-owned small businesses from the previous year's achievements. In addition, Industry Buying Activities can receive extra credit for being a current Award of Distinction holder.

Evaluation Criteria:

- Leadership — includes, but is not limited to, such factors as: written policy supporting women-owned small businesses; reference to women-owned small businesses in standard operating procedures; designation of a senior executive responsible for implementing women-owned small business initiatives and formal recognition of procurement personnel who utilize women-owned small businesses.
- Advocacy — includes, but is not limited to, such factors as: outreach efforts including newsletters; business assistance and training seminars for women business owners; facilitating trade show/marketplace presentations.
- Innovation — includes, but is not limited to, such factors as: using new technologies; new methodologies; new processes and challenging the conventional procedures, resulting in an increase in women-owned small business' participation.
- Implementation — includes, but is not limited to, such factors as: development and administration of an agency plan to ensure maximum practicable opportunities for women-owned small businesses as prime contractors and subcontractors; requiring prime contractors to establish aggressive subcontracting plans.

Submissions must be forwarded to the Office of Government Contracting and Business Development, Attention: Frances Perkins Vanguard Award, U.S. Small Business Administration, 409 3rd St. SW, Washington, D.C. 20416 by Nov. 30, 2004. Firms or federal agencies which have received this award within the past three years are not eligible.



SMALL BUSINESS WEEK
CONSENT FOR DISCLOSURE OF INFORMATION

The undersigned herewith agrees and consents to the disclosure by the Small Business Administration (SBA) of the information in its file concerning his/her nomination for the Small Business Person of the Year, Advocate of the Year, or Special Awards winners (Phoenix Award) to those persons chosen by the SBA as judges for these awards.

This consent is given with the understanding that disclosure shall be limited to the information contained in that file, and that no disclosure shall take place after the selection of the Small Business Person of the Year and Advocate and Special Award winners is made.

Signature: _____

Date: _____

Return Executed Copies 1, 2, and 3 to SBA

United States of America
SMALL BUSINESS ADMINISTRATION
STATEMENT OF PERSONAL HISTORY

Please Read Carefully - Print or Type

Each member of the small business or the development company requesting assistance must submit this form in TRIPLICATE for filing with the SBA application. This form must be filled out and submitted by:

1. By the proprietor, if a sole proprietorship.
2. By each partner, if a partnership.
3. By each officer, director, and additionally by each holder of 20% or more of the ownership stock, if a corporation, limited liability company, or a development company.

SBA District/Disaster Area Office

Name and Address of Applicant (Firm Name)(Street, City, State, and ZIP Code)

Amount Applied for (when applicable) File No. (if known)

Personal Statement of: (State name in full, if no middle name, state (NMN), or if initial only, indicate initial.) List all former names used, and dates each name was used. Use separate sheet if necessary.

First Middle Last

2. Give the percentage of ownership or stocked owned Social Security No.
or to be owned in the small business or the
development company

3. Date of Birth (Month, day, and year)

4. Place of Birth: (City & State or Foreign Country)

5. U.S. Citizen? ☐ YES ☐ NOIf No, are you a Lawful Permanent resident alien: ☐ YES ☐ NO

If non- U.S. citizen provide alien registration number:

Most recent prior address (omit if over 10 years ago):

From:

To:

Address:

6. Present residence address:

From:

To:

Address:

Home Telephone No. (Include A/C):

Business Telephone No. (Include A/C):

PLEASE SEE REVERSE SIDE FOR EXPLANATION REGARDING DISCLOSURE OF INFORMATION AND THE USES OF SUCH INFORMATION.

IT IS IMPORTANT THAT THE NEXT THREE QUESTIONS BE ANSWERED COMPLETELY. AN ARREST OR CONVICTION RECORD WILL NOT NECESSARILY DISQUALIFY YOU; HOWEVER, AN UNTRUTHFUL ANSWER WILL CAUSE YOUR APPLICATION TO BE DENIED.

IF YOU ANSWER "YES" TO 7, 8, OR 9, FURNISH DETAILS ON A SEPARATE SHEET. INCLUDE DATES, LOCATION, FINES, SENTENCES, WHETHER MISDEMEANOR OR FELONY, DATES OF PAROLE/PROBATION, UNPAID FINES OR PENALTIES, NAME(S) UNDER WHICH CHARGED, AND ANY OTHER PERTINENT INFORMATION.

7. Are you presently under indictment, on parole or probation?

☐ Yes ☐ No (If yes, indicate date parole or probation is to expire.)

8. Have you ever been charged with and or arrested for any criminal offense other than a minor motor vehicle violation? Include offenses which have been dismissed, discharged, or not prosecuted (All arrests and charges must be disclosed and explained on an attached sheet.)

☐ Yes ☐ No

9. Have you ever been convicted, placed on pretrial diversion, or placed on any form of probation, including adjudication withheld pending probation, for any criminal offense other than a minor vehicle violation?

☐ Yes ☐ No

10. I authorize the Small Business Administration Office of Inspector General to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for programs authorized by the Small Business Act, and the Small Business Investment Act.

CAUTION: Knowingly making a false statement on this form is a violation of Federal law and could result in criminal prosecution, significant civil penalties, and a denial of your loan, surety bond, or other program participation. A false statement is punishable under 18 USC 1001 by imprisonment of not more than five years and/or a fine of not more than \$10,000; under 15 USC 645 by imprisonment of not more than two years and/or a fine of not more than \$5,000; and, if submitted to a Federally insured institution, under 18 USC 1014 by imprisonment of not more than thirty years and/or a fine of not more than \$1,000,000.

Signature

Title

Date

Agency Use Only

11. ☐ Fingerprints Waived

Date Approving Authority

☐ Fingerprints Required

Date Approving Authority

Date Sent to OIG

12. ☐ Cleared for Processing

Date Approving Authority

13. ☐ Request a Character Evaluation

Date Approving Authority

(Required whenever 7, 8 or 9 are answered "yes" even if cleared for processing.)

PLEASE NOTE: The estimated burden for completing this form is 15 minutes per response. You are not required to respond to any collection of information unless it displays a currently valid OMB approval number. Comments on the burden should be sent to U.S. Small Business Administration, Chief, AIE, 405 3rd St., S.W., Washington D.C. 20416 and Desk Officer for the Small Business Administration, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, D.C. 20503. OMB Approval: 3245-0178. PLEASE DO NOT SEND FORMS TO OMB.



United States of America
SMALL BUSINESS ADMINISTRATION
STATEMENT OF PERSONAL HISTORY

Please Read Carefully - Print or Type

Each member of the small business or the development company requesting assistance must submit this form in TRIPPLICATE for filing with the SBA application. This form must be filled out and submitted by:

1. By the proprietor, if a sole proprietorship.
2. By each partner, if a partnership.
3. By each officer, director, and additionally by each holder of 20% or more of the ownership stock, if a corporation, limited liability company, or a development company.

Name and Address of Applicant (Firm Name)(Street, City, State, and ZIP Code)

SBA District/Disaster Area Office

Amount Applied for (when applicable)

File No. (if known)

Personal Statement of: (State name in full, if no middle name, state (NMN), or if initial only, indicate initial.) List all former names used, and dates each name was used. Use separate sheet if necessary.

2. Give the percentage of ownership or stocked owned or to be owned in the small business or the development company

Social Security No.

First Middle Last

3. Date of Birth (Month, day, and year)

4. Place of Birth: (City & State or Foreign Country)

Name and Address of participating lender or surety co. (when applicable and known)

5. U.S. Citizen? ☐ YES ☐ NOIf No, are you a Lawful Permanent resident alien: ☐ YES ☐ NO

If non- U.S. citizen provide alien registration number:

6. Present residence address:

Most recent prior address (omit if over 10 years ago):

From:

From:

To:

To:

Address:

Address:

Home Telephone No. (Include A/C):

Business Telephone No. (Include A/C):

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IT IS IMPORTANT THAT THE NEXT THREE QUESTIONS BE ANSWERED COMPLETELY. AN ARREST OR CONVICTION RECORD WILL NECESSARILY DISQUALIFY YOU; HOWEVER, AN UNTRUTHFUL ANSWER WILL CAUSE YOUR APPLICATION TO BE DENIED.

IF YOU ANSWER "YES" TO 7, 8, OR 9, FURNISH DETAILS ON A SEPARATE SHEET. INCLUDE DATES, LOCATION, FINES, SENTENCES, WHETHER MISDEMEANOR OR FELONY, DATES OF PAROLE/PROBATION, UNPAID FINES OR PENALTIES, NAME(S) UNDER WHICH CHARGED, AND ANY OTHER PERTINENT INFORMATION.

7. Are you presently under indictment, on parole or probation?

☐ Yes ☐ No (If yes, indicate date parole or probation is to expire.)

8. Have you ever been charged with and or arrested for any criminal offense other than a minor motor vehicle violation? Include offenses which have been dismissed, discharged, not prosecuted (All arrests and charges must be disclosed and explained on an attached sheet.)

☐ Yes ☐ No

9. Have you ever been convicted, placed on pretrial diversion, or placed on any form of probation, including adjudication withheld pending probation, for any criminal offense other than a minor vehicle violation?

☐ Yes ☐ No

10. I authorize the Small Business Administration Office of Inspector General to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for programs authorized by the Small Business Act, and the Small Business Investment Act.

CAUTION: Knowingly making a false statement on this form is a violation of Federal law and could result in criminal prosecution, significant civil penalties, and a denial of your loan, surety bond, or other program participation. A false statement is punishable under 18 USC 1001 by imprisonment of not more than five years and/or a fine of not more than \$10,000; under 15 USC 645 by imprisonment of not more than two years and/or a fine of not more than \$5,000; and, if submitted to a Federally insured institution, under 18 USC 1014 by imprisonment of not more than thirty years and/or a fine of not more than \$1,000,000.

Title

Date

Agency Use Only

11. ☐ Fingerprints Waived

Date

Approving Authority

☐ Fingerprints Required

Date

Approving Authority

12. ☐ Cleared for Processing

Date

Approving Authority

13. ☐ Request a Character Evaluation

Date

Approving Authority

Date Sent to OIG

(Required whenever 7, 8 or 9 are answered "yes" even if cleared for processing.)

PLEASE NOTE: The estimated burden for completing this form is 15 minutes per response. You are not required to respond to any collection of information unless it displays a currently valid OMB approval number. Comments on the burden should be sent to U.S. Small Business Administration, Chief, AIB, 409 3rd St., S.W., Washington D.C. 20416 and Desk Officer for the Small Business Administration, Office of Management and Budget, New Executive Office Building, Room 10202, Washington, D.C. 20503. OMB Approval 3245-0178. PLEASE DO NOT SEND FORMS TO OMB.